

Docket No. P-UW 3570

Applicants: Osborne and Ramesh

Serial No.: 09/323,738

Filed: June 1, 1999

For: COMPOSITIONS AND METHODS FOR TREATING DIABETES

#3



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: University of Washington
ADDRESS OF NONPROFIT ORGANIZATION: 1107 N.E. 45th Street, Suite 200
Seattle, Washington 98105-4631

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled COMPOSITIONS AND METHODS FOR TREATING DIABETES by inventors William R.A. Osborne and Nagarajan Ramesh as described in

- ☐ the specification filed herewith
☒ application serial no. 09/323,738, filed June 1, 1999
☐ patent no. _____, issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention.

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If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any persons, other than the inventors, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: _____

Karen L. Deyaric, Ph.D.
Manager, Health Sciences
Office of Technology Transfer
University of Washington

TITLE IN ORGANIZATION OF PERSON SIGNING: _____

ADDRESS OF PERSON SIGNING:

SIGNATURE: _____

DATE: _____

8-10-99

DECLARATION FOR PATENT APPLICATION



As the below-named inventors, we hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **COMPOSITIONS AND METHODS FOR TREATING DIABETES**, the specification of which

_____ is attached hereto as Attorney Docket No.

X _____ was filed on June 1, 1999, as Application Serial No. 09/323,738 (Attorney Docket No.P-UW 3570)

and was amended on (or amended through) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;

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or (2) It refutes, or is inconsistent with, a position the applicant takes in: (i) Opposing an argument of unpatentability relied on by the U.S. Patent and Trademark Office, or (ii) Asserting an argument of patentability.

I hereby claim the benefit under Title 35, United States Code, §119(e) or §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
60/087,660	June 2, 1998	Abandoned
09/185,852	November 4, 1998	Pending

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Full name of first inventor: William R.A. Osborne

Inventor's signature: W.R.A. Osborne

Date: 8/1/99

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Seattle, Washington 98115

Citizenship: USA

Post Office Address: 7311 53rd Avenue, N.E.
Seattle, Washington 98115

Full name of second inventor: Nagarajan Ramesh

Inventor's signature: _____

Date: _____

Residence: 221B Kiely Boulevard
Santa Clara, CA 95051

Citizenship: India

Post Office Address: 221B Kiely Boulevard
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Filed: June 1, 1999
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Full name of first inventor: William R.A. Osborne

Inventor's signature: _____

Date: _____

Residence: 7311 53rd Avenue, N.E.
Seattle, Washington 98115

Citizenship: USA

Post Office Address: 7311 53rd Avenue, N.E.
Seattle, Washington 98115

Full name of second inventor: Nagarajan Ramesh

Inventor's signature: _____

Date: July 29, 1999

Residence: 221B Kiely Boulevard
Santa Clara, CA 95051

Citizenship: India

Post Office Address: 221B Kiely Boulevard
Santa Clara, CA 95051

DECLARATION FOR PATENT APPLICATION
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on August 24, 1999.

By


David A. Gay, Reg. No. 39,200

August 24, 1999

Date of Signature

